



FY 2006 Homeland Security Grant Program: Investment Justification User's Manual

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**Homeland
Security**

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Introduction

Purpose

The purpose of the Investment Justification User's Manual is to assist States and Urban Areas through the technical and programmatic processes in developing their Investment Justifications, utilizing an Investment Justification template. This Manual complements other reference materials and presentations, including the FY 2006 Homeland Security Grant Program (HSGP) Guidance and Application Kit, the *State Homeland Security Program and Capability Review Guidebook Volumes I and II*, and the Program and Capability Review technical assistance.

The Manual contains specific guidance on:

- How to respond to each question in the Investment Justification;
- How to navigate the Investment Justification template; and,
- Step-by-step instructions for completing, reviewing, and submitting the Investment Justification as part of the FY 2006 HSGP application.

Background

The FY 2006 HSGP Guidance and Application Kit outlines a shift in the way HSGP funds will be awarded. In previous years, States and Urban Areas knew their funding allocations prior to submitting grant applications; however, in FY 2006, States and Urban Areas will submit applications to formally request FY 2006 HSGP funding in support of their State and Urban Area Homeland Security Strategies. The Investment Justification will be the method by which States and Urban Areas formally request FY 2006 HSGP funding across three HSGP programs: the State Homeland Security Program (SHSP), Urban Areas Security Initiative (UASI), Law Enforcement Terrorism Prevention Program (LETPP). Additionally, States must use the Investment Justification to demonstrate their planned use of funds for the Metropolitan Medical Response System (MMRS) and the Citizen Corps Program (CCP).

Through the Investment Justification, States and Urban Areas will describe specific funding and implementation approaches that will help achieve Initiatives outlined in the State-wide Program and Capability Enhancement Plan that results from the Program and Capability Review.¹ The targeted application of FY 2006 HSGP funding towards the achievement of Initiative from the Enhancement Plan is called an *Investment*.² States and Urban Areas will use the Investment Justification to request funding they wish to allocate to those areas from the State-wide Program and Capability Enhancement Plan they have identified as priorities in the near-term.

States may propose up to 15 Investments for which they wish to utilize FY 2006 HSGP funds to achieve and progress against the Initiatives outlined in the Enhancement Plan. Each Urban Area

¹ The *State Homeland Security Program and Capability Review Guidebook Volume I* was released on October 31, 2005; *Volume II: Enhancement Plan* was released on November 14, 2005. Both volumes are available on <http://www.shsasresources.com/>

² Please see Appendix B for a list of definitions

candidate, as identified by the Department of Homeland Security, Preparedness Directorate, Office of Grants and Training (G&T), may also propose up to 15 Investments in addition to those proposed by the State. The Urban Area Investments must support the achievement of an Initiative in their respective State's Enhancement Plan, and should be submitted as part of the State's FY 2006 HSGP application. The list of eligible Urban Areas will be released by G&T shortly.

After application submission, each Investment Justification will be reviewed to determine the need-based grant funding allocations for SHSP, UASI, and LETPP through a quasi-competitive application review and scoring process. Each Investment Justification will be evaluated based on the effectiveness of each of the proposed Investments in meeting State and Urban Area needs identified as part of the Program and Capability Review process and Enhancement Plan, and the ultimate impact the investment will have on reducing overall risk.

Just as Investments may support one or more Initiatives in whole or in part, they may also support multiple goals and objectives from the State and Urban Area Homeland Security Strategy that relate to one or more National Priorities and/or Target Capabilities from the Target Capabilities List (TCL). Figure 1 illustrates the relationship of the Investment to the National Priorities and Target Capabilities.

Figure 1: Interoperable Communications as a Priority, Capability, Strategic Goal, Initiative and Investment, and Project

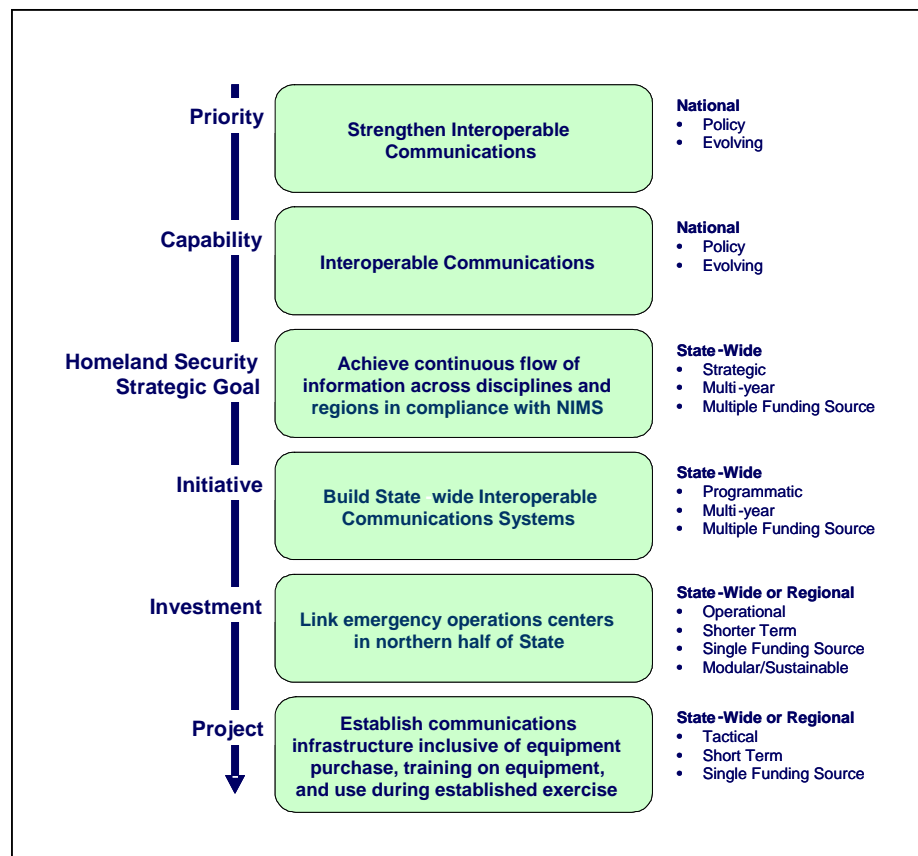
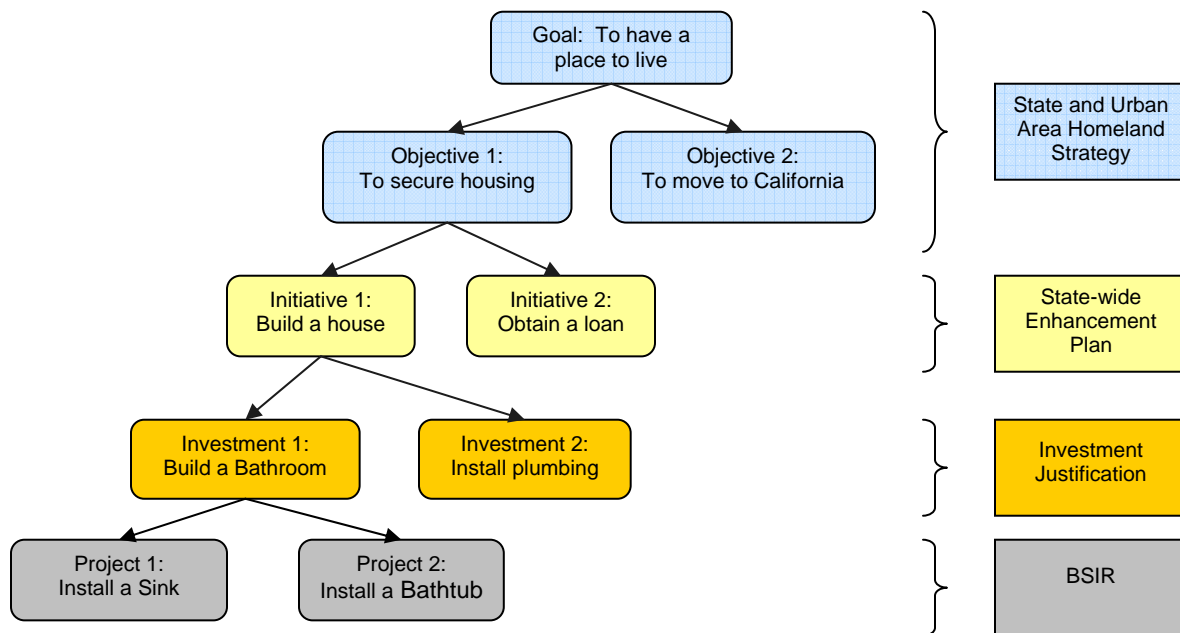


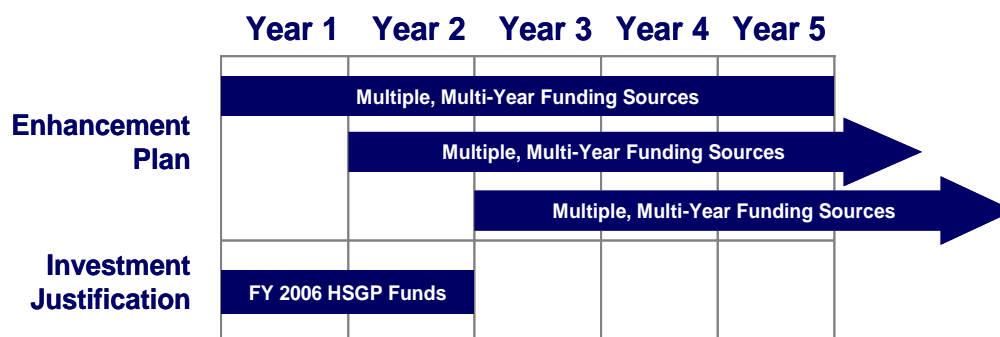
Figure 2 further illustrates the relationship between Investments and Projects; Initiatives identified in the State-wide Enhancement Plan; and, the goals and objectives outlined in the State and Urban Area Homeland Security Strategies, and provides contextual examples.

Figure 2: Relationship of Investments to Goals, Objectives, Initiatives, and Projects



The Investment Justification should illustrate how FY 2006 HSGP funding will be used over a 24-month grant period. It should include information as to how the Investment will be sustained and how it contributes to broader Initiatives from the Enhancement Plan, which span several years and may incorporate funding from multiple sources. Figure 3 highlights the primary differences between the Enhancement Plan and the Investment Justification.

Figure 3: Relationship between the Enhancement Plan and Investment Justification



Investment Justification Overview

Programmatic Considerations

When completing the Investment Justification, States and Urban Areas should bear in mind that each Investment will be reviewed for completeness, adherence to programmatic guidelines, and how well the proposed solution addresses the need identified through the Program and Capability Review.

While States and Urban Areas may submit up to 15 Investments each in their Investment Justification, **15 Investments are not required**. Applicants should ensure that the activities and ultimate goals of each individual Investment are compatible, grouped to ensure that Investments are formulated to best support Initiatives identified in the Enhancement Plan, and ultimately in support of the State or Urban Area's Homeland Security Strategy.

The Investment Justification will be used to score applications and make funding decisions for the need-based component of HSGP using the following high-level evaluation criteria:

- Relevance to the Goal, National Priorities, Target Capabilities, State/Urban Area Homeland Security Strategy goals and objectives, and Enhancement Plan Initiatives;
- Regionalization and effective collaboration;
- Sustainability;
- Implementation approach; and,
- Impact.

States and Urban Areas will use the Investment Justification to formally request FY 2006 HSGP funds for SHSP, LETPP, and UASI; and to outline their planned use of funds for MMRS and CCP. **Requests for UASI funding should be made by Urban Areas only**. States must ensure that their UASI funding needs are covered by the Urban Area Investments. Requests will be made by HSGP program (SHSP, LETPP, UASI, MMRS, and CCP) as well as by allowable cost categories (planning, organization, equipment, training, exercises, personnel, and management and administration (M&A)). **States and Urban Areas must ensure funding requests are reasonable, justified, and supported by other responses in the Investment Justification.**

For additional information on how to formulate funding requests, including allowable cost information, reference the FY 2006 HSGP Guidance and Application Kit.

General Requirements

The Investment Justification is a required component of the FY 2006 HSGP application. An Investment Justification template has been developed to facilitate the development and submission process for States and Urban Areas; to help ensure that all Investment Justifications are easy to complete; and to ensure that Investment Justifications contain all the information necessary for a thorough and fair review.

States must use the Investment Justification to request funding for SHSP and LETPP, and to outline planned use of funds for MMRS and CCP. All UASI funding requests should be covered by the Urban Area Investment Justifications.

Urban Area Investment Justifications must be included as part of the State application submission. While States and Urban Areas will develop their own Investments, **the Urban Area Investment Justifications must be included as part of the overall State application submission.** States and Urban Areas are strongly encouraged to coordinate with each other to present an application that represents a collaborative, integrated approach, and to avoid duplication of efforts.

The State Administrative Agency (SAA) must upload State and applicable Urban Area Investment Justifications as attachments in the Grant Management System (GMS) when submitting the FY 2006 HSGP application. **Each State and Urban Area should have their own separate Investment Justification file.** Therefore, it is imperative that the Urban Areas work in accordance with their respective State's timelines and processes identified by the SAA to ensure the Urban Area Investment Justification, while a separate file from the State's submission, is uploaded by the SAA into GMS by the application deadline.

Questions regarding the Investment Justification, should be directed to the Centralized Scheduling and Information Desk (CSID). CSID can be contacted at 1-800-368-6498 or askcsid@dhs.gov. CSID hours of operation are from 8:00 a.m. to 7:00 p.m. (EST), Monday through Friday.

Investment Justification Template Design

An Investment Justification template has been developed in Microsoft® (MS) Excel for use by the States and Urban Areas. The Investment Justification template is comprised of an Instruction Sheet, 15 individual Investment Sheets, and one Summary Sheet. The individual Investment Sheets are provided for the States and Urban Areas to propose up to 15 individual Investments utilizing FY 2006 HSGP funding. The Summary Sheet will be automatically populated and will compile information entered on the individual Investment Sheets. **The sum of the individual Investments must account for all FY 2006 HSGP funds the State or and eligible Urban Areas are requesting across all programs.**

The template is designed to limit each response either in the allowed length of the narrative response or to choices available from a drop-down list. These limits are intended to reduce the response burden for States and Urban Areas, and to create a level playing field from which to evaluate Investment Justifications. Word limitations are noted in the instructions where applicable. **Any text beyond the word limitation will not appear on-screen in the template, will not print, and will not be taken into consideration during the review and scoring process.**

States and Urban Areas should remember that the most successful Investment Justifications will be those that are clear, concise, and mindful of word limitations.

Within the Investment Justification, each Investment Sheet is comprised of four sections:

- I. Background
- II. Regionalization
- III. Impact
- IV. Funding and Implementation Plan

Each of these sections includes questions that must be answered in order for the Investment Justification to be considered complete. The appropriate responses for each question vary from narrative responses to drop-down lists to actual dollars requested. Specific guidance on each question is provided in this User's Manual.

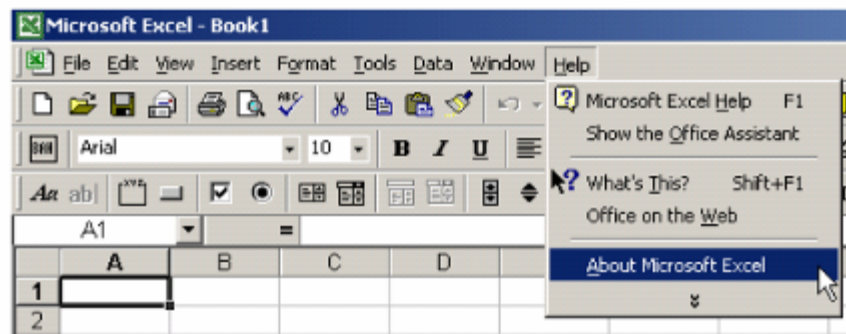
Template Instructions

Technical Considerations

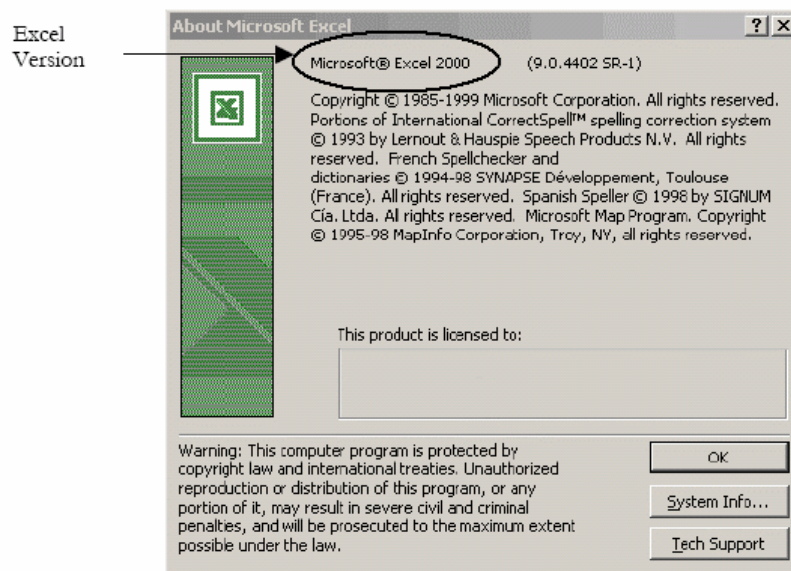
System Requirements

The Investment Justification template was created in MS Excel XP and will run on MS Excel version 2000 or higher. The minimum system standards to run MS Excel 2000 are a computer with a 75 MHz processor or faster, such as the Pentium 75, and the Microsoft Windows 95 operating system. To check if you have the appropriate version of MS Excel, complete the following steps:

- 1) Open MS Excel through your Start menu or other icon
- 2) Click on the **[Help]** menu along the top
- 3) Choose **[About Microsoft Excel]** from the drop-down list



- 4) The dialog box that appears will list the version of MS Excel you are using

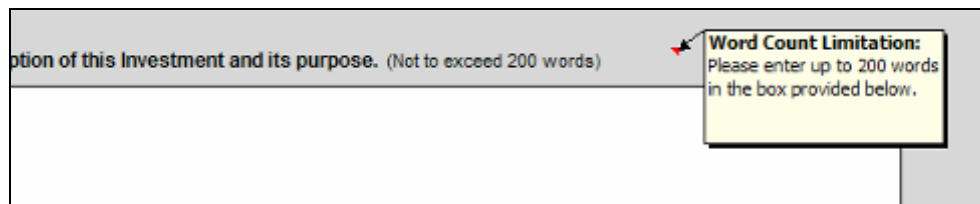


Screen Resolution

For best viewing of the Investment Justification template, it is recommended that users have their screens set to 1024 by 768 pixels. Screen setting information for your computer is located in the display properties accessible through the *Start* menu. If your monitor is set to a resolution lower than this standard (e.g., 800 by 600 pixels, or 640 by 480 pixels) then you may not be able to view as much of the template on your screen as designed. Different screen settings may require you to scroll from left to right, and/or up and down in order to view the entire template.

Pop-up Messages

The Investment Justification template contains mouse-over pop-up messages that contain important instructions, word limitations, and other reminders.



Every **red triangle** found in the upper right corner of a field signifies that a pop-up message is available for display. To display the message, move and/or click your mouse on the field with the red triangle. The message will disappear when you move your mouse away from the field.

Error Messages

The Investment Justification template contains three types of Error Messages:

1. **Data Entry Error:** Fields that require a drop-down option to be selected may not contain any free text or the following error message will display: "Character not recognized; please select the "option" from the drop-down list."
2. **Character Recognition Error:** Fields that require a numerical input must not contain any alpha characters or the following error message will display: "Please enter a numerical value for this field."
3. **Date Error:** Fields that require a date input must not contain any alpha characters, and must be in the format MM/DD/YYYY or the following error message will display: "Please enter an appropriate date in MM/DD/YYYY format."

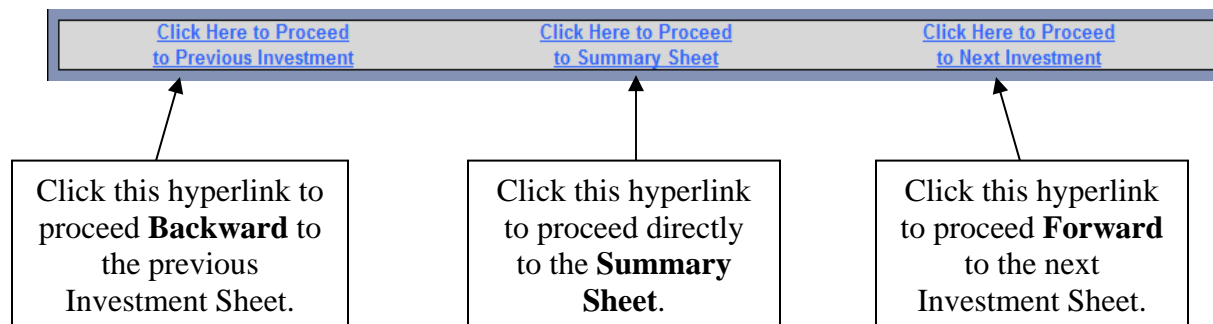
Other Considerations

States and Urban Areas should be aware that narrative responses will be automatically formatted in Arial nine-point font. The template cannot be altered to change the font settings.

Applicants should also be aware that there is not a “spell-check” function available within the template; however, it is possible to copy and paste text into the Investment Justification template from word-processing software applications, such as MS Word.

Document Navigation

The Investment Justification template is designed with a built-in navigation bar at the bottom of each Investment Sheet. This bar will assist States and Urban Areas in moving between Investments, as well as moving to the Summary Sheet.



The Summary Sheet also includes hyperlinks that will enable the user to move from the Summary Sheet to a particular Investment Sheet by clicking on the number of that Investment.

Investment Heading

Each individual Investment Sheet includes a heading section in which States and Urban Areas will be required to enter basic identifying information, including the State or Urban Area name and the name of the Investment. This heading will remain visible to the viewer at the top of the page when scrolling through the Investment Sheet.

INVESTMENT #	State/Territory Name:	FY 2006 HSGP Funding Request:
1	FY 2006 Urban Area Name:	
	Investment Name:	

The following fields should be completed by the user:

1. **State/Territory Name:** Each State and Urban Area should select the appropriate State/Territory Name from the drop-down list provided.
2. **FY 2006 Urban Area Name:** Since States and Urban Areas will complete separate Investment Justifications, States should not complete the “FY 2006 Urban Area Name” field. Eligible Urban Area applicants will type in their name in this field. Only the names of those areas identified as eligible Urban Areas in FY 2006 will be considered.

3. **Investment Name:** States and Urban Areas should assign each Investment a descriptive name, unique to that particular Investment. Investment names should be no longer than 20 words in length. Character limitations will be enforced.

The Investment heading also includes a field for the “FY 2006 HSGP Funding Request.” This field will be automatically populated when information is entered into Investment Funding Plan Section, Question IV.A. Information cannot be entered directly in to this field.

The information from this heading will be the source information that populates the fields of the Investment Justification Summary Sheet.

Investment Sheet Sections

The following sections provide detailed instructions on how to respond to each question in the Investment Justification. Guidance on each question is provided in individual tables that highlight the:

- Response Type that is required (e.g. responding in a narrative format, numeric format, or selecting from a drop-down list);
- Word Limit for any narrative response – States and Urban Areas are reminded that text exceeding the word limit will not be visible on screen or in print, and will not be read by reviewers;
- Response Instructions;
- Key Word Definitions, where applicable; and,
- Technical Instructions, where applicable.

Section I. Background

I.A. Provide a summary description of this Investment and its purpose.	
Response Type	Narrative
Word Limit	Not to exceed 200 words
Response Instructions	<ul style="list-style-type: none"> • Describe the purpose of this Investment, including what you hope to accomplish and what the result will be utilizing the FY 2006 HSGP funds requested. • Include a description of the expected outcomes, how they are related to the overall Investment purpose and how the outcomes will be achieved.
Key Word Definition:	<p><u>Purpose</u> refers to a strategic result or vision of an Investment.</p> <p><u>Outcome</u> refers to a tangible result that can be objectively measured, evaluated, and reported against.</p>
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

I.B. Explain how the Investment will support the implementation of an Initiative(s) from the Program and Capability Enhancement Plan, and the achievement of goals and objectives from your State/Urban Area Homeland Security Strategy(ies).	
Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> Investments should directly support one or more Initiatives identified in the State Program and Capability Enhancement Plan. As such, discuss which Initiative(s) this Investment relates to, and what specific area of the Initiative(s) will be accomplished or furthered by the Investment. Identify the discrete FY 2005 State/Urban Area Homeland Security Strategy goals and objectives to which this Investment <u>specifically</u> links, and explain how the Investment supports the achievement of those goals/objectives.
Key Definitions	<p><u>Goal</u> refers to the strategic goals identified in the State and Urban Area Homeland Security Strategies. It is a target that the State or Urban Area wants to achieve regarding an improved level of capability.</p> <p><u>Outcome</u> refers to the outcomes identified in the FY 2005 State or Urban Area Homeland Security Strategies. An outcome is a strategic objective, which is a specific statement of desired achievement that supports a strategic goal, and sets a target level of performance over time expressed as a tangible and measurable objective, against which actual achievement can be compared.</p>
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

I.C. List up to four National Priority(ies) this Investment <u>primarily</u> supports.	
Response Type	Drop-Down List
Word Limit	N/A
Response Instructions	<ul style="list-style-type: none"> Space is provided to select <u>up to</u> four National Priorities from a drop-down list; the Investment may or may not support one or more National Priorities. While the Investment may support several National Priorities, choose only those priorities that are <u>primarily and directly</u> supported by the Investment (i.e., those National Priorities that the State and/or Urban Area will be closer to achieving because of the Investment). If this Investment does not directly support a National Priority, leave this section blank.
Technical Instructions:	Click on box to activate the drop-down arrow, then click on the arrow to view and select the appropriate drop-down option.

I.D. List up to six Target Capability(ies) from the Target Capabilities List this Investment <u>primarily</u> supports.	
Response Type	Drop-Down List
Word Limit	N/A
Response Instructions	<ul style="list-style-type: none"> • Space is provided to select <u>up to</u> six Target Capabilities from a drop-down list; the Investment may or may not support one or more Target Capabilities from the TCL. • While the Investment may support several Target Capabilities, only choose those capabilities that are <u>primarily and directly</u> supported by the Investment (those Target Capabilities that the State/Urban Area will be closer to achieving because of the Investment).
Technical Instructions:	Click on box to activate the drop-down arrow. When the arrow is visible, click on the arrow to view and select the appropriate drop-down option.

Section II. Regionalization

II.A. Describe the geographic and demographic area(s) this Investment covers.	
Response Type	Narrative
Word Limit	Not to exceed 275 words
Response Instructions	<ul style="list-style-type: none"> • Identify those geographic and demographic areas that are <u>specifically</u> affected by this Investment. • Explain how you determined the areas that the Investment will affect, and whether the Investment has the potential to affect areas outside those identified.
Key Word Definition:	<p><u>Geographic Area</u> refers to cities, towns, urban areas, and/or physical square mileage/total area.</p> <p><u>Demographic Area</u> refers to general population, or a specific target population within the general population (e.g., law enforcement groups, educators, or special-needs populations).</p>
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

II.B. Explain how the State/Urban Area is organizing to implement this Investment over the identified geographic area(s).	
Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> Consider how regional partnerships are organized/in place to support the implementation of this Investment. Describe the way in which stakeholders from multiple jurisdictions and disciplines will work/are working together to leverage common solutions across those jurisdictions/disciplines in order to take advantage of other jurisdictional strengths and avoid duplication of efforts.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

II.C. Discuss the collaboration process you have, or will establish, with other regions and jurisdictions (inter- and intra-State) within or beyond the geographic/demographic area of this Investment. Discuss when and how you will engage stakeholders from those regions in specific support of this Investment.	
Response Type	Narrative
Word Limit	Not to exceed 500 words
Response Instructions	<ul style="list-style-type: none"> Consider if you will have to engage entities and stakeholders from other regions/areas to successfully implement this Investment. Identify the collaboration processes and communication strategies already in place with other regions and jurisdictions. Discuss who you will reach out to, who you have already reached out to, why those individuals/groups were selected, and why/how they will benefit from this Investment. Explore possible/existing collaboration and coordination strategies, and the timeline for engaging those external stakeholders.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

Section III. Impact

III.A. Discuss anticipated impacts of this Investment and how the requested funding will help attain/achieve expected impacts. Consider the population and areas affected, and other entities (jurisdictions, disciplines) that could leverage the outcomes and impacts of the solution presented by this Investment.	
Response Type	Narrative
Word Limit	Not to exceed 500 words
Response Instructions	<ul style="list-style-type: none"> • Outline the expected, high-level impacts this Investment is expected to attain/achieve if implemented, and potential negative impacts of the Investment is not implemented. • Explain at a high level how HSGP funding will help achieve these impacts. (Do not include specific information as to the amount or type of funding requested. This information should be provided in Section IV.) • Ensure this response links the identified impacts to specific geographic and demographic areas outlined in Question II.A. • Ensure this response identifies other jurisdictions and disciplines that may benefit from an outcome or a solution presented by this Investment.
Key Word Definition:	<p><u>Impact</u> refers to the effect that this Investment will have on the identified geographic and demographic areas.</p> <p><u>Outcome</u> refers to a tangible result that can be measured and evaluated.</p>
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

III.B. Discuss how the implementation of this Investment will decrease or mitigate risk.	
Response Type	Narrative
Word Limit	Not to exceed 500 words
Response Instructions	<ul style="list-style-type: none"> • Discuss how this Investment will reduce risk (e.g., reduce vulnerabilities or mitigate the consequences of an event) by addressing the needs and priorities identified in earlier analysis and review. • Identify the nature of the risk, why the State/Urban Area considers it a risk, and how the risk and need are related to show how addressing the need through this Investment will also mitigate risk (e.g., reduce vulnerabilities or mitigate the consequences of an event).
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

III.C. Describe what the potential homeland security risks of not funding this Investment are.	
Response Type	Narrative
Word Limit	Not to exceed 500 words
Response Instructions	<ul style="list-style-type: none"> Consider the risks that already exist and will be more prevalent and/or any new risks that will result if this Investment is not funded and implemented. Briefly discuss potential outcomes if this risk is not addressed – explain what vulnerabilities will not be reduced or what potential consequences will not be mitigated.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

Section IV. Funding & Implementation Plan

IV.A. Investment Funding Plan.	
Response Type	Numeric
Word Limit	N/A
Response Instructions	<ul style="list-style-type: none"> Complete this chart to request the amount of funding the State/Urban Area is requesting for <u>this Investment only</u>. As in past years, funds should be requested by individual HSGP program, as well as by allowable cost categories (i.e., planning, organization, equipment, training, exercises, personnel, and management and administration.) States/Urban Areas must make funding requests that are reasonable and justified by direct linkages to activities outlined in this in this particular Investment. States/Urban Areas must indicate whether additional funding (non-FY 2006 HSGP) will be leveraged for this Investment. However, applicants must provide additional information in Question IV.E. indicating the funding source(s) and how those funds will be leveraged. Only Urban Areas are permitted to request UASI funding. If States will be utilizing or responsible for any portion of UASI funds, that portion must be included as part of the Urban Area Investments.
Technical Instructions:	To enter monetary values, click on the appropriate white cell. Add monetary values to all applicable white boxes. Any box that is gray within the table will automatically populate based upon the values entered in the white boxes. Values entered will be rounded to the nearest whole-dollar amount.

Figure 4 illustrates how the States and Urban Areas should indicate which programs they are requesting funding for the particular Investment, how that money will be allocated across the cost elements, and non-FY 2006 HSGP funds that will be utilized.

Figure 4: Investment Funding Plan Example

	FY 2006 Homeland Security Grant Program Request					FY 2006 HSGP Request Total	Other Funding Sources Applied	Grand Total
	SHSP	UASI	LETPP	MMRS	CCP			
Personnel	\$1,000					\$1,000		\$1,000
Planning							\$2,500	\$2,500
Organization								
Equipment*								
Training	\$5,000					\$5,000		\$5,000
Exercises			\$5,000			\$5,000		\$5,000
M&A			\$250			\$250		\$250
Total	\$6,000		\$5,250			\$11,250	\$2,500	\$13,750

IV.B. Identify potential challenges to the effective implementation of this Investment (e.g., stakeholder buy-in, sustainability, aggressive timelines).

Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> • The response should focus on the implementation only. • Consider the necessary steps and stages that will be required for successful implementation of the Investment. • Identify areas of possible concern or potential pitfalls in terms of Investment implementation. • Explain why those areas present the greatest challenge to a successful Investment implementation.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

IV.C. Explain how the identified challenges will be addressed and mitigated.

Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> • Discuss each potential challenge, outlining specific solutions or approaches to meeting these challenges. • Describe the steps and processes that will be taken to identify those challenges proactively (before they arise), as well as the planned steps/processes to mitigate the challenges as they arise.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

IV.D: Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this Investment, and the overall management approach they will apply for the implementation of this Investment.	
Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> • Provide the high-level skill sets (e.g., budget execution, grant administration, geospatial expert, outreach and communication liaison) that members of the management team must possess for the successful implementation and oversight of the Investment. • Discuss how those skill sets fulfill the oversight and execution responsibilities for the Investment, and how the management roles and responsibilities will be distributed/assigned among the management team. • Explain how the management team members will organize and work together in order to successfully manage the Investment. • Names of individuals are not required for the description of the management team; however specific job or position titles could be indicated.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

IV.E: Discuss funding resources beyond FY 2006 HSGP that have been identified and will be leveraged to support the implementation and sustainment of this Investment.	
Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> • Discuss other funding sources (e.g., non-HSGP grant programs, public or private agreements, future fiscal year grants) that you plan on utilizing for the implementation and/or continued sustainment of this Investment. • If no other funding resources have been identified, or if none are necessary, provide rationale as to why the requested FY 2006 HSGP funding is sufficient for the implementation and sustainment of this Investment.
Technical Instructions:	To respond to this question, click on the white text box directly beneath the question heading.

IV.F: Provide a high-level timeline, including milestones and dates, for the implementation of this Investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. Space is provided for <u>up to</u> 10 milestones, but not all 10 spaces may be necessary for the response.	
Response Type	Narrative
Word Limit	Milestone not to exceed 25 words Related Activities not to exceed 100 words
Response Instructions	<ul style="list-style-type: none"> • States/Urban Areas should only include major milestones that are critical to the success of the Investment. • While space is provided for up to 10 milestones, States/Urban Areas should only list as many milestones as necessary. • Milestones are for this discrete Investment – those that are covered by the requested FY 2006 HSGP funds and will be completed over the 24-month grant period. (Additional longer-term milestones may be identified and can be addressed in question IV.G.) • Milestones should be kept to high-level, major tasks that will need to occur. • In the “Start Date” field, identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone. • In the “End Date” field, identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met. • In the “Related Activities” section, States/Urban Areas should list any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text).
Technical Instructions:	<p>Start and End dates must be in the format “MM/DD/YYYY”. Failure to use this format will cause a series of symbols to appear in the field, which will not be legible to reviewers.</p> <p>Applicants will not be able to enter dates prior to the beginning of FY 2006. Entering any date prior to 10/01/2005 will result in an error message.</p> <p>To enter data into this field, click on the white text boxes associated with the Milestone, Related Activities, and Start and End Dates. The Related Activities, and Start and End Date fields must be completed if a Milestone is entered.</p>

IV.G: Describe the planned duration for this overall Investment. Discuss your long-term sustainability plans for the Investment after your FY 2006 HSGP funds have been expended, if applicable.	
Response Type	Narrative
Word Limit	Not to exceed 300 words
Response Instructions	<ul style="list-style-type: none"> • Give the expected total life-span for this Investment if fully implemented and sustained through completion. • Consider how this Investment will be sustained and funded after FY 2006 HSGP funds are expended, if applicable. • Include information about resource needs (e.g., personnel, processes, and tools) as well as critical governance needs. • List critical milestones that are outside of the FY 2006 HSGP grant period, and how those milestones will be met with the identified funding and resources.
Technical Instructions:	<p>To move to the next Investment Sheet, click on the hyperlink at the bottom of Investment Sheet, "Click Here to Proceed to Next Investment."</p> <p>To review the Summary Sheet, click on the hyperlink at the bottom of the Investment Sheet, "Click Here to Proceed to Summary Sheet."</p> <p>To move to the previous Investment Sheet, click on the hyperlink at the bottom of the Investment Sheet, "Click here to Proceed to Previous Investment."</p>

After completing each Investment Sheet, States and Urban Areas should review the entered information to ensure accuracy, particularly the Milestone dates and the Investment Funding Plan. States and Urban Areas are reminded that any information that is not viewable in the provided text boxes will not print, and will also not be reviewed.

Summary Sheet

After completing the Investment Sheets, States and Urban Areas should review the Investment Justification Summary Sheet for accuracy, paying particular attention to the aggregate FY 2006 HSGP funding request.

States and Urban Areas must review their requested funding to ensure that it is accurate and realistic. In addition, States and Urban should be aware that a red box on their Summary Sheet funding request indicates that the total funding request for any of the five HSGP programs exceeds the total amount available for that **entire** program in FY 2006.

As the Summary Sheet is populated using information from the individual Investment Sheets, information can not be altered directly in the Summary Sheet. If the Summary Sheet contains any inaccurate information, States and Urban Areas should alter the information in question from within the appropriate individual Investment Sheet.

Submitting the Investment Justification

As previously stated, the Investment Justification is a required component of the FY 2006 HSGP application. States and Urban Areas will submit one Investment Justification each through a single, unified State grant application in the GMS. Instructions for applying through the GMS are included in the FY 2006 HSGP Guidance and Funding Kit.

States and Urban Areas should submit Investment Justifications as separate attachments in GMS (e.g., one attachment for the State Investment Justification, and one attachment for each eligible Urban Area Investment Justification). Each Investment Justification should be saved using a file naming convention that clearly indicates the applicant type (State or Urban Area), and the name of that State or Urban Area such as “State_[State Name]_FY 2006 HSGP.xls” and “Urban Area_[Urban Area Name]_FY 2006 HSGP.xls.”

Prior to submitting their Investment Justifications, States and Urban Areas should use the following checklist to ensure their Investment Justification is complete and adheres to submission guidelines:

- ☒ Each Investment has been formulated using the requirements put forth in the FY 2006 HSGP Guidance and Application Kit.
- ☒ All questions within the template have been answered for each submitted Investment.
- ☒ All responses have been formulated using template and response instructions and guidance.
- ☒ All responses are accurate.
- ☒ All dates are entered correctly and visible in the “MM/DD/YYYY” format.
- ☒ All monetary amounts are accurate for each Investment and in the Summary Sheet.
- ☒ Each Investment Justification file is saved with an easily-identifiable file name.
- ☒ Each State and qualifying Urban Area has submitted an individual Investment Justification.

Appendix A: Investment Justification Template Sample

Screen shots of the Investment Justification template in Excel are provided below. The screen shots are meant to provide the look and feel of how the template looks. **States and Urban areas should not use the screen shots that follow to complete their Investment Justification, and must use the template in MS Excel that has been developed.**

INVESTMENT # <div style="font-size: 24pt; font-weight: bold;">1</div>	State/Territory Name: <input style="width: 100%;" type="text"/> FY 2006 Urban Area Name: <input style="width: 100%;" type="text"/> Investment Name: <input style="width: 100%;" type="text"/>	FY 2006 HSGP Funding Request: <input style="width: 100%;" type="text"/>
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I. BACKGROUND

I.A: Provide a summary description of this Investment and its purpose. (Not to exceed 200 words)

I.B: Explain how the Investment will support the implementation of an Initiative(s) from the Program and Capability Enhancement Plan, and the achievement of goals and objectives from your State/Urban Area homeland security strategy(ies). (Not to exceed 300 words)

I.C: List up to four National Priority(ies) this Investment primarily Supports.

I.D: List up to six Target Capability(ies) from the Target Capabilities List this Investment primarily supports.

II. REGIONALIZATION

II.A: Describe the geographic and demographic area(s) this Investment covers. (Not to exceed 275 words)

INVESTMENT # 1	State/Territory Name: <input style="width: 100%;" type="text"/> FY 2006 Urban Area Name: <input style="width: 100%;" type="text"/> Investment Name: <input style="width: 100%;" type="text"/>	FY 2006 HSGP Funding Request: <input style="width: 100%;" type="text"/>
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II.B: Explain how the State/Urban Area is organizing to implement this Investment over the identified geographic area(s). (Not to exceed 300 words)

II.C: Discuss the collaboration process you have, or will establish, with other regions and jurisdictions (inter- and intra-State) within or beyond the geographic/demographic area of this Investment. Discuss when and how you will engage stakeholders from those regions in specific support of this Investment. (Not to exceed 500 words)

III. IMPACT

III.A: Discuss anticipated impacts of this Investment and how the requested funding will help attain/achieve expected impacts. Consider the population and areas affected, and other entities (jurisdictions, disciplines) that could leverage the outcomes and impacts of the solution presented by this Investment. (Not to exceed 500 words)

INVESTMENT # 1	State/Territory Name: <input style="width: 100%;" type="text"/> FY 2006 Urban Area Name: <input style="width: 100%;" type="text"/> Investment Name: <input style="width: 100%;" type="text"/>	FY 2006 HSGP Funding Request: <input style="width: 100%;" type="text"/>
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III.B: Discuss how the implementation of this Investment will decrease or mitigate risk. (Not to exceed 500 words)

III.C: Describe what the potential Homeland Security risks of not funding this Investment are. (Not to exceed 500 words)

IV. FUNDING & IMPLEMENTATION PLAN

IV.A: Investment Funding Plan

	FY 2006 Homeland Security Grant Program Request					FY 2006 HSGP Request Total	Other Funding Sources Applied	Grand Total
	SHSP	UASI	LETPP	MMRS	CCP			
Personnel								
Planning								
Organization								
Equipment*								
Training								
Exercises								
M&A								
Total								

*If you plan to purchase Interoperable Communications Equipment, your Investment Justification must include discussion on planning, governance, training, policies, procedures, and/or exercises related to the equipment.

INVESTMENT # 1	State/Territory Name: <input style="width: 100%;" type="text"/> FY 2006 Urban Area Name: <input style="width: 100%;" type="text"/> Investment Name: <input style="width: 100%;" type="text"/>	FY 2006 HSGP Funding Request: <input style="width: 100%;" type="text"/>
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IV.B: Identify potential challenges to the effective implementation of this Investment (e.g., stakeholder buy-in, sustainability, aggressive timelines). (Not to exceed 300 words)

IV.C: Explain how the identified challenges will be addressed and mitigated. (Not to exceed 300 words)

IV.D: Describe the management team, including roles and responsibilities, that will be accountable for the oversight and implementation of this Investment, and the overall management approach they will apply for the implementation of this Investment. (Not to exceed 300 words)

INVESTMENT # 1	State/Territory Name: <input style="width: 100%;" type="text"/> FY 2006 Urban Area Name: <input style="width: 100%;" type="text"/> Investment Name: <input style="width: 100%;" type="text"/>	FY 2006 HSGP Funding Request: <input style="width: 100%;" type="text"/>
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IV.E: Discuss funding resources beyond FY 2006 HSGP that have been identified and will be leveraged to support the implementation and sustainment of this Investment. (Not to exceed 300 words)

IV.F: Provide a high-level timeline, including milestones and dates, for the implementation of this Investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. Space is provided for up to 10 milestones, but not all 10 spaces may be necessary for the response. ("Milestone" not to exceed 25 words and "Related Activities" not to exceed 100 words)

Milestone #1	<input style="width: 95%;" type="text"/>	Start Date:	<input style="width: 90%;" type="text"/>	End Date:	<input style="width: 90%;" type="text"/>
Related Activities	<input style="width: 95%;" type="text"/>				
Milestone #2	<input style="width: 95%;" type="text"/>	Start Date:	<input style="width: 90%;" type="text"/>	End Date:	<input style="width: 90%;" type="text"/>
Related Activities	<input style="width: 95%;" type="text"/>				
Milestone #3	<input style="width: 95%;" type="text"/>	Start Date:	<input style="width: 90%;" type="text"/>	End Date:	<input style="width: 90%;" type="text"/>
Related Activities	<input style="width: 95%;" type="text"/>				
Milestone #4	<input style="width: 95%;" type="text"/>	Start Date:	<input style="width: 90%;" type="text"/>	End Date:	<input style="width: 90%;" type="text"/>
Related Activities	<input style="width: 95%;" type="text"/>				
Milestone #5	<input style="width: 95%;" type="text"/>	Start Date:	<input style="width: 90%;" type="text"/>	End Date:	<input style="width: 90%;" type="text"/>
Related Activities	<input style="width: 95%;" type="text"/>				

INVESTMENT # <div style="font-size: 24pt; font-weight: bold;">1</div>	State/Territory Name: <input style="width: 100%;" type="text"/> FY 2006 Urban Area Name: <input style="width: 100%;" type="text"/> Investment Name: <input style="width: 100%;" type="text"/>	FY 2006 HSGP Funding Request: <input style="width: 100%;" type="text"/>
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Milestone #6		Start Date: <input style="width: 100%;" type="text"/> End Date: <input style="width: 100%;" type="text"/>
Related Activities		

Milestone #7		Start Date: <input style="width: 100%;" type="text"/> End Date: <input style="width: 100%;" type="text"/>
Related Activities		

Milestone #8		Start Date: <input style="width: 100%;" type="text"/> End Date: <input style="width: 100%;" type="text"/>
Related Activities		

Milestone #9		Start Date: <input style="width: 100%;" type="text"/> End Date: <input style="width: 100%;" type="text"/>
Related Activities		

Milestone #10		Start Date: <input style="width: 100%;" type="text"/> End Date: <input style="width: 100%;" type="text"/>
Related Activities		

IV.G: Describe the planned duration for this overall Investment. Discuss your long-term sustainability plans for the Investment after your FY 2006 HSGP funds have been expended, if applicable. (Not to exceed 300 words)

Summary Sheet for FY 2006 HSGP Investment Justifications								
State/Territory Name:					Total FY 2006 HSGP Request:			
FY 2006 Urban Area Name:								
INVESTMENT SUMMARY INFORMATION								
#	Investment Name					FY 2006 HSGP Request		
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
STATE/TERRITORY-WIDE FUNDING PLAN SUMMARY FOR ALL INVESTMENTS								
	FY 2006 Homeland Security Grant Program Request					FY 2006 HSGP Request Total	Other Funding Sources Applied	Grand Total
	SHSP	UASI	LETPP	MMRS	CCP			
Personnel								
Planning								
Operations								
Equipment								
Training								
Exercises								
M&A								
Total								

Appendix B: Definitions

Term	Definition
Demographic Area	The population group(s) that an Investment is targeted to affect, e.g., all of a population residing within the Geographic area; or population sub-groups such as the elderly, law enforcement personnel, educators, etc.
Geographic Area	The physical land area than an Investment is targeted to affect, e.g., discrete cities, towns, urban areas, and/or total area square footage.
Impact	The effect that an Investment has on the Geographic and Demographic areas. Impact can be both positive (benefit) or negative (detriment).
Initiative	The State-wide, cross-jurisdictional aggregation of related projects geared towards achieving a common State Homeland Security goal/objective, National Priority, and/or Target Capability. An Initiative may be comprised of projects that span one or more National Priorities, Target Capabilities, or Capability Elements (POETE).
Investment	The application of FY 2006 HSGP funding towards the achievement of one or more Initiatives identified in a State Program and Capability Enhancement Plan.
Investment Justification	A required submission for the FY 2006 HSGP application, the Investment Justification is comprised of up to 15 Investments and an Investment Summary Sheet. It is the method by which States and Urban Areas will request FY 2006 HSGP funding.
Outcome	A tangible result that can be measured, evaluated, and reported against.
Project	An organized set of activities designed to achieve defined objectives or tasks resulting in specific identifiable improvements within a given budget and grant period.
Strategic Goal	As identified in the State or Urban Area Homeland Security Strategies, a strategic goal is a target that the State or Urban Area wants to achieve regarding an improved level of capability. These goals will help the State and Urban Area achieve its vision, focus on the long term, and broaden their scope of preparedness.
Strategic Objective	As identified in the State or Urban Area Homeland Security Strategies, a strategic objective is a specific statement of desired achievement that supports a strategic goal, and sets a target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared.

Appendix C: Acronyms

Acronym	Definition
CCP	Citizen Corps Program
CSID	Central Scheduling and Information Desk
G&T	Office of Grants and Training
GMS	Grants Management System
HSGP	Homeland Security Grant Program
LETPP	Law Enforcement Terrorism Prevention Program
M&A	Management and Administration
MMRS	Metropolitan Medical Response System
POETE	Planning, Organization, Equipment, Training, and Exercises
SAA	State Administrative Agency
SHSP	State Homeland Security Program
TCL	Target Capabilities List
UASI	Urban Areas Security Initiative